

**National Endowment for the Humanities**

**White Paper**

**Grant No.:** HZ-254255-17

**Title of Project:** *Humanities Open Book Program*

**Project Director:** Alice Randel Pfeiffer

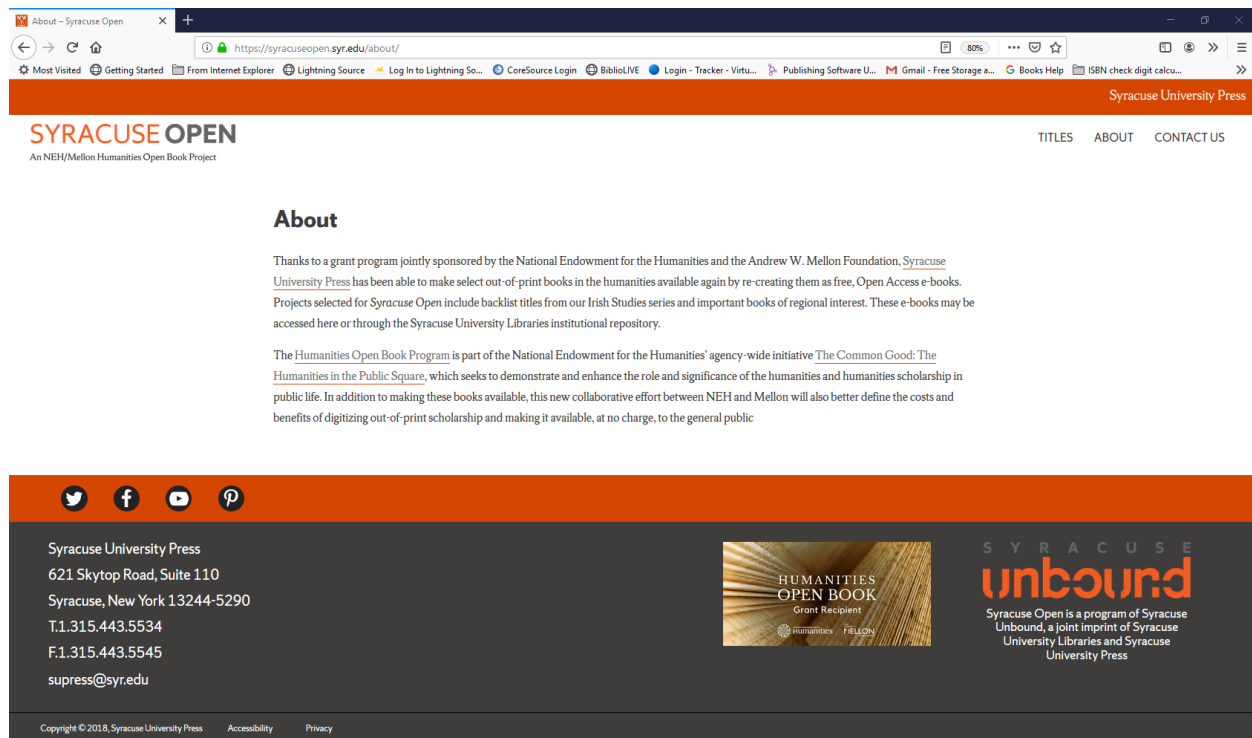
**Grantee Institution:** Syracuse University

**Report Date:** June 30, 2019

**Interim Report Period:** 10/01/2017 - 03/31/2019

## Executive Summary

Syracuse University Press received \$58,921 of funding through a 2017 NEH-Mellon Humanities Open Book grant to digitize and make openly accessible electronic versions of 22 important out-of-print works primarily from our collection of books on New York State and our Irish studies series. We conducted research on the books' provenance and current rights status; digitized and converted the books to EPUB, Mobi, XML, and PDF forms; and we created a dedicated website for the books, <https://syracuseopen.syr.edu/> to promote and disseminate the works.



The Open Access eBooks that we produced were placed with JSTOR and Project MUSE Open to publicize and make them readily discoverable and available to the widest possible readership.

The grant has enabled us to gain valuable experience in publicizing OA works through traditional and social media, and to gather metrics that measure their use and impact.

We expect the results of this work to reinforce Syracuse University Press as a public good; to fortify its mission to attract and disseminate outstanding scholarship in select subject areas; to expose general readers worldwide to otherwise unavailable books; and to garner for our staff valuable experience in publicizing and measuring the impact of OA books, with an eye to future efforts.

## Introduction

In considering the parameters of the Humanities Open Book grant, members of our advisory board, including colleagues from Syracuse University Libraries' Unit for Research, Collections, and Scholarly Communication, with input from longtime series editors, curated a list of out-of-print titles based on current availability, critical reviews, citation data, and relevance to current scholarship. The resulting list foregrounds the Press's particular strengths in Irish Studies and New York State history. Revitalizing this selection of works will bring them into conversation with current scholarship and to the wider attention of general readers.

In choosing the best candidates for the NEH-Mellon Humanities Open Book Program, we carefully reviewed the availability and critical reception of select out-of-print titles, further noting their citation frequency and their relevance to our current list-building activities. Those titles that appeared on our short list had in common positive reviews both in scholarly journals and by general readers. Many are first books by authors who have gone on to write definitive works in their subject areas, and are books we found to be heavily cited but currently unavailable.

We first selected several outstanding books from our Irish Studies series. Founded in 1981, the Irish Studies series was the first of its kind in North America. Monographs on writers such as W. B. Yeats, James Joyce, Liam O'Flaherty, Seamus Heaney, and Roddy Doyle have distinguished Syracuse University Press as a leader in this field. The series is committed to publishing groundbreaking work in areas as wide-ranging as the performing arts, Irish America, religion, language, literary studies, and women's studies, and we continue to seek out the work of emerging and distinguished scholars in this area. In bringing this selection of out-of-print titles back into circulation, we have the opportunity to publicize further the series and to serve as a resource for Irish Studies scholars and enthusiasts. In making our choices, we also solicited input from series editor James McKillop, whose work on the series has always emphasized development of practical and accessible texts for college classroom use. McKillop has authored or contributed to myriad books on Irish history and literature, including *Irish Literature: A Reader* (1987), *Contemporary Irish Cinema* (1999), and *the Myths and Legends of the Celts* (2005).

Since its inception, Syracuse University Press has been committed to preserving the history, literature, and culture of the Central New York region. In 1965, Syracuse University Press became the first university press in New York State to launch a formal regional studies series when it introduced its new "York State Books" list. Today, the Press actively continues to seek out and publish well-written books of regional interest on subjects as diverse as Adirondack geography, New York State history and culture, and field guides to the region's flora.

In culling our backlist, we discovered several important and widely reviewed and cited early histories of New York State among our out-of-print titles. These form the second grouping among our candidate titles, and reflect our interest in recording the history of the decorative arts, geography and landscape architecture, Iroquois culture, African American education, Adirondack lore, early Dutch influence, architectural landmarks, and Prohibition and other social movements.

Members of our advisory board made use of Book Citation Index and Arts and Humanities Citation Index to investigate how frequently and how recently our candidate titles had been cited. We also researched and reviewed the critical reception of each of these works as a way to determine their relevance to current scholarship. Although written by scholars, all books on the list will appeal to nonspecialist readers and will enhance their understanding of heritage.

## History and overview of the publisher

Syracuse University Press was founded in 1943 by Chancellor William Pearson Tolley as a means to publish and disseminate scholarly research and to extend the reach and academic reputation of Syracuse University. Since its founding, the Press has gained national and international acclaim and lends prestige to Syracuse University by publishing important, award-winning, and groundbreaking books. With more than 1,700 titles in print, the Press supports the central mission of the University to teach, to support research initiatives, and to publish scholarly work. The Press also prides itself on publishing carefully edited and beautifully designed books that enhance the intellectual life of general readers.

Syracuse University Press has long produced innovative and critically acclaimed books in the humanities and social sciences. In addition to its signature subject areas—Middle East studies, Irish studies, Native America studies, Judaic history and literature, and peace and conflict resolution—Syracuse University Press has historically been an important advocate for recording and preserving regional and state culture. Its backlist includes studies of Iroquois history and culture; Adirondack life and geography; New York State early settlement, experimental communities, and ethnic groups; contributions to the abolition and suffrage movements; literature of the Leatherstocking Region; and the critical legacy of the Arts & Crafts movement to Upstate New York.

Already active in the changing landscape of scholarly research, the Press is in the process of making many of its publications available as e-content, in collaboration with the Syracuse University Libraries. The Press and Libraries have collaborated to offer a digital collection of Syracuse University Press books at no cost to the Syracuse University community. Press e-books are currently available through Kindle, Google, and subscriptions services such as JSTOR, Project MUSE/UPCC, EBSCO, and ProQuest. Faculty may create e-book course packs with our content through Copyright Clearance Center, University Readers, and Academic Pub.

Syracuse University Press supports the University and serves the public good by publishing works of scholarly, intellectual, and creative distinction, and thoughtful books for the general reader. Through its publishing programs, the Press advances research and education and enriches intellectual and cultural life. The Press is a key component of a more general network—including learned societies, scholarly associations, and research libraries—that makes the scholarly enterprise possible.

## Project Activities

### I. Rights Clearance

Syracuse University Press has efficient practices in place within its acquisitions department for researching rights and third-party permissions for all material it publishes. We would tailor these practices for the requirements of out-of-print titles to be included in the Humanities Open Book Program. Assistant editor Kelly Balenske (KLB), who regularly performs thorough permissions edits on new manuscripts, and who also has experience handling our rights and permissions requests, would handle the rights research and clearance work for this group of titles. KLB would locate the existing contract for each book and determine whom the rights holder is, communicating with our senior business manager who handles royalty statements and payments to confirm the current payee and contact information. For authors who are deceased,

KLB will determine whether an heir or estate has become the rights holder. She will also review each book for third party material that may require permission, and will initiate and track the appropriate permissions requests. KLB will consult with editor-in-chief Suzanne Guiod (SEG) for rights and permissions questions of a complex nature or when a risk assessment must be made.

A contract amendment will be created for the author or rights holder of each book included in the program. Once the eBook contract amendments have been signed and returned, and all third-party permissions cleared, director Alice Pfeiffer (ARP) will assign ISBNs for the eBooks.

We followed this work plan as outlined in the grant proposal. Our estimate for staff time was accurate; however, we did have to substitute four titles for those that we could not clear rights. This led to delays in the production schedule.

## II. Digitization, Conversion, and Metadata Creation

For each book included in the Humanities Open Book Program, Syracuse University Press's senior designers will retrieve a hard copy for OCR scanning by Amnet. The designers will check for any digital copies of covers, and will scan and create new covers if digital files nonexistent. The books will be packaged and mailed to Amnet, who will provide an estimate for the costs of scanning, proofing, and conversion to PDF, EPUB 3.0.1 (or later), MOBI, and XML. ARP will review and approve the estimate.

Upon approval, Amnet will proceed with scanning, proofing, and digital conversion. Upon completion, senior designers receive all formats of files to check for quality (e.g., check front matter links, spot check internal links in running text and index, review images and caption placement) using Calibre software. Senior designers then prepare and send a report to Amnet indicating any problems or fixes that must be made. Amnet will revise the necessary files and return them to the senior designers. Senior designers review the various formats of files again. (This process continues until all files that meet quality and usability standards and the designers communicate final approval to Amnet.)

SUP senior designers then archive all formats, and alert ARP and our marketing department of the availability and location of formatted files. ARP and the marketing coordinator then create and upload metadata and keywords for each publication.

We decided to use an alternate vendor for the OCR scanning process. We have had excellent results using Golden Images for scanning books at a comparable rate to Amnet. This allowed us to improve our workflow by having the scanning completed earlier in the process and allowing our production team to implement quality control at that stage.

We created the files with the highest standard for accessibility in our EPUB conversion to include alt text. Technically, the process for digitization and file conversion went smoothly and met our quality control standards. However, the breakdown of staff time shifted; the senior designers spent 250% more time than budgeted to ensure the quality control on the higher standard of accessibility that we chose to implement. The process of metadata creation required 70% less staff time from the marketing coordinator.

## **Service Providers and Technical Standards**

Syracuse University Press has worked with Amnet for EPUB, MOBI, and XML conversions of front list titles since July 2015. Amnet is a certified ISO 9001:2008 enterprise, **an Apple certified iBooks conversion house**, and an Amazon-recognized EPUB conversion and delivery provider. It has shown its commitment to following the latest best practices and ensures up-to-date file conversions. Its customer service, response time, and quality of conversions are all excellent.

Amnet has provided a statement confirming its commitment not only to collaborate with Syracuse University Press for the Humanities Open Book Program but also to meet the standards and technical requirements of open access eBooks, namely, EPUB 3.0.1 or later format. For this project, we requested PDF, EPUB 3.0.1, MOBI, and XML files from them.

In creating the accessible ePub3 files, Amnet has complied with the following standards and guidelines: International Digital Publishing Forum (IDPF) and Web Content Accessibility Guidelines (WCAG) 2.0 for ePub3 at level A and AA conformance rates. In addition, all the titles were tested through the JAWS screen reader by actual end users.

### **III. Website Creation**

We proposed to create a dedicated website for the NEH Humanities Open book Program. We originally thought we would use a vendor to design the website; however, we were able to secure this work through the Syracuse University Libraries IT. The website was completed on schedule and is fully accessible. The website development funding moved from other costs to salaries, wages, and fringe benefits. <https://syracuseopen.syr.edu/>

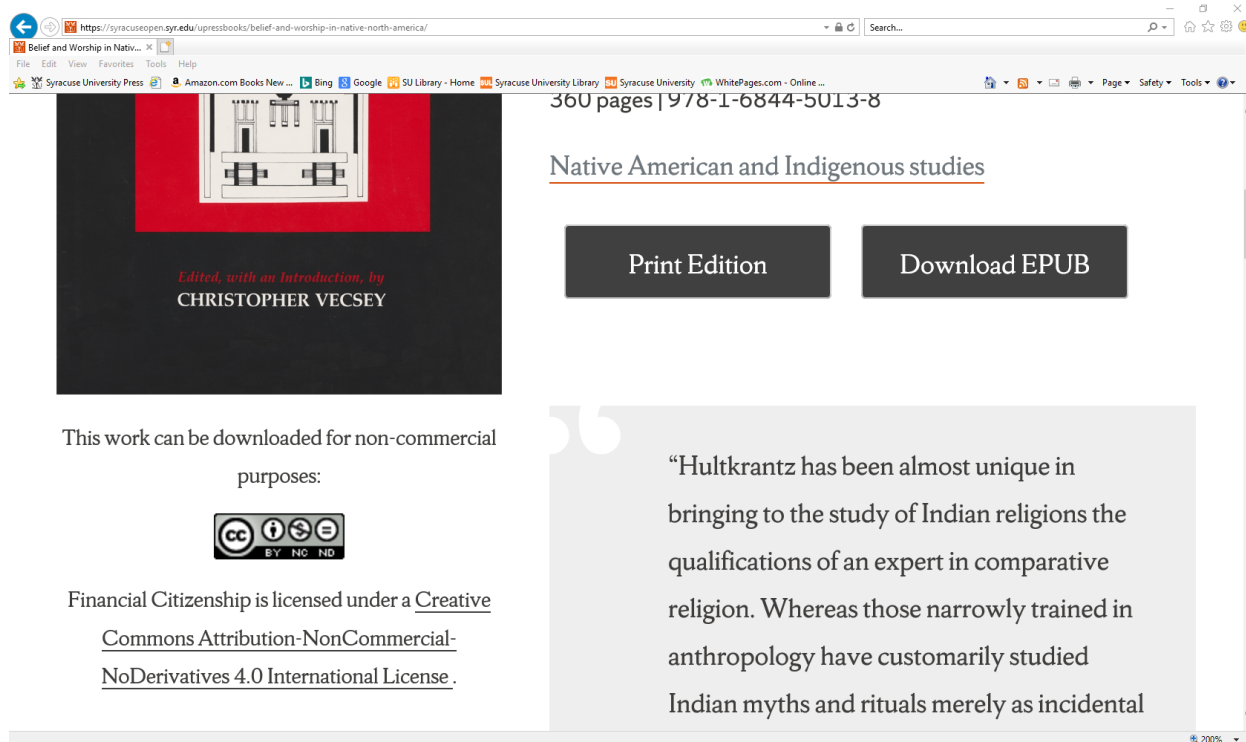
### **IV. Dissemination**

We implemented a multiplatform strategy to maximize discoverability, accessibility, and dissemination of the titles by a wide range of users. We placed our books with JSTOR and in the MUSE Open platform to make these titles available through their extensive network of countries globally.

The dedicated website hosts and delivers DRM-free eBooks directly to readers. Via Lightning Source Print-On-Demand, we will offer all titles for sale as print-on-demand books with a multinational distribution network. These POD editions are available through the OA website as well as on our Syracuse University Press website. <https://press.syr.edu/>

## **Licenses**

The Creative Commons license we assigned to govern the Syracuse University Press ebooks released through the Humanities Open Book Program is the Attribution-NonCommercial-NoDerivs 4.0 license, which allows the works to be shared but not altered or used for commercial purposes. This license allows us to achieve the goals of the grant: widely and freely disseminating important humanities scholarship, while protecting our copyrights and the rights of the original authors and their heirs.



## V. Promotion

- Announcement March 29, 2017 in Syracuse University News <https://news.syr.edu/blog/2017/03/29/syracuse-university-press-awarded-nehmellon-humanities-open-book-grant/>
- Spring 2017 Syracuse University Libraries *Connection* newsletter (see appendices)
- At the Syracuse University Press Editorial Board meeting on May 3, 2018, the Press Director spoke about the NEH grant award that the press received.
- University Press Forum article in *CHOICE* May 2018 (see appendices)
- September 2018, we launched the dedicated website for the Humanities Open Book Program: Syracuse Open <https://syracuseopen.syr.edu/>
- Announcement of the NEH grant award on October 4, 2018 at the gala event celebrating the seventy-fifth anniversary of Syracuse University Press.
- Inside cover of the Spring 2019 Syracuse University Press catalog (see appendices)

## Accomplishments

- Proposed 22 books as the scope of the project – completed 18, with two near completion, and we plan to complete the last of the books by December 2019. The OA books that were created are fully accessible.
- Dissemination – achieved worldwide access through JSTOR, Project MUSE Open and Syracuse Open. We did not complete the process of submission of all titles to other venues such as the Hathi Trust. In addition, titles submitted to SURFACE, the Syracuse University Libraries' repository have not yet been processed for use. We plan to complete the submission of files to these sites by December 2019.
- Created dedicated Syracuse Open fully accessible website as planned and on schedule.
- We produced POD editions to accompany the OA editions as planned. As of May 2019, we have sold 53 POD copies for \$552.

## Audiences

The OA books created and disseminated have reached audiences worldwide in 82 countries across six continents, at over 1,000 institutions.

- JSTOR – 1277 chapter downloads
- JSTOR – 3391 chapter views
- Syracuse Open – 672 site visits
- Syracuse Open – 1,207 page views
- Project MUSE Open – 415 page views

## Evaluation

We had to adjust our original title list due to barriers to obtaining rights to the works. For example, we were not able to obtain permissions from the Joyce Estate for two Irish studies titles – *The Economy of Ulysses: Making Both Ends Meet*, by Mark Osteen, and *The Anti-Modernism of Joyce's a Portrait of the Artist as a Young Man*, by Weldon Thornton. In addition, we were not able to secure rights for a third Irish studies title, *Irish Life and Traditions*, by Sharon Gmelch. Moreover, we were not able to secure the rights for an art book, *Adelaide Alsop Robineau: Glory in Porcelain*, by Peg Weiss. We were able to substitute three other Irish studies works and another New York State book to replace those for which we could not clear rights. However, this did lead to delays in our proposed timeline. Subsequently, we requested and received a six-month extension to the grant.

At the end of the grant period March 31, 2019, we had completed 18 of the 22 books originally scheduled and spent the full amount of the grant, \$58,291. We expended additional funds that were not budgeted of \$9,943 through May 31, 2019, and anticipate spending approximately \$10,000 more to complete the remaining work that was originally planned for the grant. The shortfall of funds was the largest impediment to completing the work.

As noted earlier in this report, our estimates for allocated staff time varied somewhat from our actual results. Although this led to a need for an extension in the grant period, it was not a major setback.



We were highly satisfied with the final products that were produced, and we worked well with the vendors that were selected for the project.

### **Continuation of the Project**

With funding assistance from the Syracuse University Libraries, we will continue the work on the uncompleted books. These two books are in the process of rights clearance:

1. Wellman, *Landmarks of Oswego County*
2. Shelgren, *Cobblestone Landmarks of New York State*

We expect to complete all work originally planned by December 2019.

We will continue our efforts at dissemination by adding the completed list to the Hathi Trust and to SURFACE, the Syracuse University Libraries repository.

### **Award Products**

<https://syracuseopen.syr.edu/>

Eighteen books have been completed with two more in the final stage of production\*

#### NEW YORK STATE COLLECTION

1. Chazanof, *Joseph Ellicott and the Holland Land Company*
2. Conklin, *Through "Poverty's Vale"*
3. Crouthamel, *Bennett's New York Herald and the Popular Press*
4. Doell, *Gardens of the Gilded Age*
5. Everest, *Moses Hazen and the Canadian Refugees in the American Revolution*
6. Everest, *Rum Across the Border*
7. Jackson, *Scholar in the Wilderness*
8. Kenney, *Stubborn for Liberty*
9. Mabee, *Black Education in New York State*
10. Malo, *Landmarks of Rochester and Monroe County\**
11. Pickett, *House of Refuge*
12. Schaefer, *Defending the Wilderness*
13. Schull, *Landmarks of Otsego County*
14. Thompson, *Geography of New York State\**
15. Thompson, *Geography of New York State Supplement*

#### NATIVE AMERICAN

16. Hultkrantz, *Belief and Worship in Native North America*

#### IRISH STUDIES

17. Daly, *Industrial Development and Irish National Identity, 1922-1939*
18. Grubeld, *George Moore and the Autogenous Self*
19. Levenson, *Hanna Sheehy Skeffington*
20. Orr, *Yeats and Postmodernism*

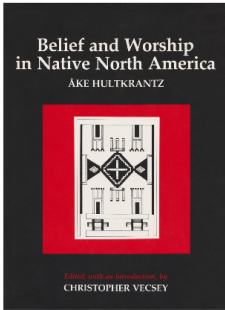
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Syracuse University Press

**SYRACUSE OPEN**  
An NEH/Mellon Humanities Open Book Project

TITLES ABOUT CONTACT US

## Titles



**Belief and Worship in Native North America**  
Ake Hultkrantz  
Christopher Vecsey  
360 pages | 978-1-6844-5013-8

150%

## Appendices

- Syracuse University News March 29, 2017 article announcing the NEH grant award to Syracuse University Press
- Syracuse University Libraries Spring 2017 *Connections* newsletter
- University Press Forum article in *CHOICE* May 2018
- Syracuse University Press Spring 2019 Catalog Inside Cover
- POD sales for NEH Books, December 2018 to May 2019



NEH grant  
announcement Arts



SU libraries  
newsletter-spring 17



UP Press Forum  
2018.pdf



SUP Spring 19  
neh.pdf



NEH POD sales  
December 2018 to N